

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

7/16

Applicant : David Lowell McNeely
Serial No. : 09/415,654
Filed : October 12, 1999
For : A SAMPLED DATA DIGITAL FILTERING SYSTEM
Art Unit : 2634
Examiner : L. B. Williams

INFORMATION DISCLOSURE STATEMENT

[] 1 Pursuant to 37 CFR 1.97(b)
[within 3 months of filing or prior to 1st Office Action]
[] 2 Certification Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
[X] 3 Fee Payment Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
[] 4 Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d)
[before issue fee payment]

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

[X] 5 A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

[] 6 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
[X] 7 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
[] 8 The required certification made in item 11 below; or
[X] 9 The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
[] 10 37 CFR § 1.97(d): [before issue fee payment]; and
(a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to "Attention PETITIONS EXAMINER" and if applicable include batch locator information: e.g., "Allowed Files, Batch ___, Date of Allowance _____"), and
(b) The required Certification is stated in item 11 below.

11 Certification

12 Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or

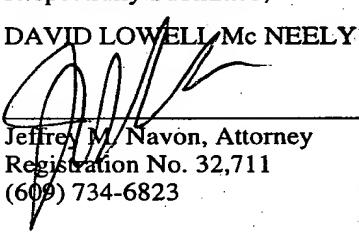
13 No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

14 Please charge the applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0832. An original and one (1) copy of this document is enclosed.

Respectfully Submitted,

DAVID LOWELL Mc NEELY

BY:


Jeffrey M. Navon, Attorney
Registration No. 32,711
(609) 734-6823

Thomson Licensing Inc.
Patent Operations
P. O. Box 5312
Princeton, New Jersey 08543-5312

Enclosures

June 30, 2004

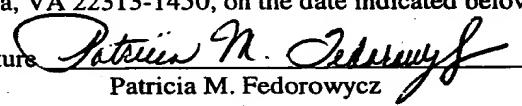
Certificate Of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service as first-class mail in a postage-paid envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

Date:

June 30, 2004

Signature


Patricia M. Fedorowycz

CUSTOMER NO. 24498

U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE				ATTY. DOCKET NO. RCA 89,830	SERIAL NO. 09/ 415,654
INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97				APPLICANT David Lowell McNeely	
(Use several sheets if necessary)				FILING DATE October 12, 1999	GROUP 2634

U. S. PATENT DOCUMENTS							
EXAMINEE INITIAL		DOCUMENT NUMBER	ISSUE DATE	APPLICANT/PATENTEE	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
	AA	4,745,462	05/17/88	R. A. Dischert et al.	358	21R	
	AB	5,784,378	07/21/98	B. P. Murray et al.	370	498	
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION Yes No
	AL						
	AM						
	AN						
	AO						
	AP						
	AQ						

OTHER INFORMATION (Including Author, Title, Pub.Date, Pertinent Pages, Country, Etc.)		
	AR	"Mirror-Image Symmetric Perfect-Reconstruction FIR Filter Banks: Parametrization and Design", Kofidis E. et al., SIGNAL PROCESSING, AMSTERDAM, NL, vol. 68, no. 1, 20 July 1998, pp. 1-21.
	AS	"A Generalized Structural Subband Decomposition of FIR Filters and its Application in Efficient FIR Filter Design and Implementation", Sanjit K. Mitra et al., IEEE Transactions on Circuits and Systems II: Analog and Digital Signal Processing, IEEE Inc., New York, US, vol. 40, no. 6, 1 June 1993, pages 363-374.
	AT	"Pre-Interpolation Filters for Upsampling", Miao, G. J. et al., Motorola Technical Developments, Motorola Inc., Schaumburg, Illinois, US, vol. 34, 1 March 1998, pages 141-144.
	AU	"Adaptive FIR Filter Structure Based on the Generalized Subband Decomposition of FIR Filters", Petraglia, M. R. et al., IEEE Transactions on Circuits and Systems II: Analog and Digital Signal Processing, IEEE Inc., New York, US, vol. 40, no. 6, 1 June 1993, pages 354-362
	AV	(European Search Report dated January 28, 2002 & Chinese Office Action dated March 2, 2004, both enclosed.)

EXAMINER	DATE CONSIDERED
SUBMITTED BY:	REG. NO.:
Jeffrey M. Navon	32,711
DATE:	
June 30, 2004	

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180)

Complete If Known

Application Number	09/415,654
Filing Date	October 12, 1999
First Named Inventor	David Lowell McNeely
Examiner Name	Lawrence B. Williams
Art Unit	2634
Attorney Docket No.	RCA 89,830
	CUSTOMER NO. 24498

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Other None
Order Deposit Account:Deposit
Account
Number

07-0832

Deposit
Account
Name

Thomson Licensing Inc.

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of this application
 Charge fee(s) indicated below, except for the filing fee
to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims	Fee from below	Fee Paid
Total Claims		-20 **	= 0	X 0 = 0
Independent Claims		-3 **	= 0	X 0 = 0
Multiple Dependent			X 0 = 0	

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$ 0)

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

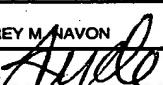
3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17 (q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	
Other fee (specify) _____			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180)

SUBMITTED BY

Name (Print/Type)	JEFFREY M. NAVON	Registration No. (Attorney/Agent)	32,711	Telephone	(609) 734-6823
Signature				Date	June 30, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Serial No. 03/415,654

Filed: October 12, 1999

ATTN: MAIL STOP

□ et al.

AMENDMENT

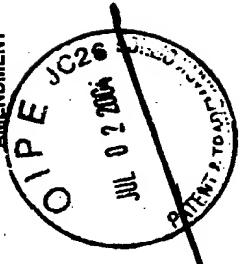
Atty/Agent:Jeffrey M. Navon/pdf

APPLICATION AS FILED

		APPLICATION AS FILED		
Entered Date	Enter Number	Check Type	Check Items Mailed with Application	
App. Mailed 005M	Independent Claims Claims in Excess 20 Claim Pages Specification Pages Sheets of Drawings Abstract Pages	<input type="checkbox"/> Orig-US NAT <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation <input type="checkbox"/> CPA <input type="checkbox"/> Reissue <input type="checkbox"/> Re-Exam <input type="checkbox"/> US Provisional	<input type="checkbox"/> Declaration <input type="checkbox"/> Statement under CFR § 1.56-013M <input type="checkbox"/> Assignment & Recordation Sheet <input type="checkbox"/> 090M Prelim. Amendment <input type="checkbox"/> Priority Document <input type="checkbox"/> 13M IDS with SIX References <input type="checkbox"/> Fee Transmittal	
Charge Mailed Due	AMENDMENTS	Mailed Due	APPEALS	Mailed Due
008M After Rejection 012M After Final Rejection 019M After Allowance UFR312 083M Supplemental 090M Voluntary 079M Dwg. Correction(s) Page(s) of Drawing(s)			032 Notice of Appeals 037M Appeal Brief 039M Reply Brief 133M Pet. To Withdraw. REQUESTS 009M Ext. Time§ 1.136(b) 076M Cert. Corr.	006M Filing Fee Exp. Mail 006M Filing Missing Parts 021 Issue Fee 009M Ext. Time§ 1.136(a) 098M Adm. Payment of Fee Fee Transmittal Form*** Charge Amount of Fee \$
OTHER		OTHER		OTHER
007M Lic. To For. File 125M Reg. Priority 35USC119 131M Statement DOE 013M Statement under § 1.56 013M IDS w/6 References** 06/30/04 06/30/04			027M Statement NASA 086M Term. Disclaimer 064M Claim Disclaimer 082M Status Letter 084M Declaration 084M Supp. Declaration Invitation to Correct	081M Appl. Atty/Agent 068M Assign & Rec. Form 066M Letter to PO 068M Notif. of For. Ref. 066M Corr. of Record M Please Specify:

** SUPPLEMENTAL IDS (with PTO-1449 attached);

***FEE SHEET & IDS IN DUPLICATE



BEST AVAILABLE COPY